

07-16 JC18 Rec'd PCT/PTO 1 2 JUL 2001

FORM PTO-1390
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. § 371

06-01US

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/889368

INTERNATIONAL APPLICATION NO.
PCT/DE00/00065

INTERNATIONAL FILING DATE
1/7/2000

PRIORITY DATE CLAIMED
1/12/1999

TITLE OF INVENTION

MALATYL POLYSACCHARIDES, THEIR PRODUCTION AND THEIR USE

APPLICANT(S) FOR DO/EO/US

Waldemar Lazik

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. § 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. § 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. § 371(f)). (The submission must include items (5), (6), (9) and (21) indicated below.)
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. § 371(c)(2)).
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. § 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. § 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. § 371(c)(3)).
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. § 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. § 371(c)(4)).
The declaration is a true and exact copy of the original.
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. § 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.128 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. § 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. § 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. § 154(d)(4).
20. ☒ Other items or information:
Application Data Sheet

"Express Mail" Label # EF 419 679 020 US - I her by
certify that this paper or file is being deposited with the
USPS "Express Mail Post Office to Addressee" service
under 37 CFR 1.10 on 07/12/2001, and is addressed to the
Assistant Commissioner for Patents, Washington, D.C.
20231.

Gudrun E. Huckett, Patent Agent

US APPLICATION NO. (if known, see 37 CFR 1.53)

09/889368

INTERNATIONAL APPLICATION NO.
PCT/DE00/00065

ATTORNEY'S DOCKET NUMBER
06-01US

21 ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO **\$1000.00**

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO **\$860.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO **\$710.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) **\$690.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) **\$100.00**

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

\$ 860.00

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e))

\$

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | \$ |
|--|--------------|--------------|------------|---------------------------|
| Total claims | 10 - 20 = | 0 | x \$18.00 | \$ |
| Independent claims | 3 - 3 = | 0 | x \$80.00 | \$ |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) 0 | | | + \$270.00 | \$ |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 860.00 |
| <input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.127 The fees indicated above are reduced by 1/2 | | | | \$ 430.00 |
| SUBTOTAL = | | | | \$ 430.00 |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)) | | | | \$ |
| TOTAL NATIONAL FEE = | | | | \$ 430.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)) The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) \$40.00 per property + | | | | \$ |
| TOTAL FEES ENCLOSED = | | | | \$ 430.00 |
| | | | | Amount to be refunded: \$ |
| | | | | charged: \$ |

\$

Total claims 10 - 20 = 0 x \$18.00 \$

\$

Independent claims 3 - 3 = 0 x \$80.00 \$

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MULTIPLE DEPENDENT CLAIM(S) (if applicable) 0 + \$270.00 \$

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\$

TOTAL FEES ENCLOSED =

\$ 430.00

Amount to be refunded: \$

charged: \$

a. ☒ A check in the amount of \$ 430.00 to cover the above fees is enclosed (check # 1245)

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-1199. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.37 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Gudrun E. Hockett, Patent Agent
P.O. Box 3187
Albuquerque, NM 87190-3187

SIGNATURE

Gudrun E. Hockett

NAME

35,747

REGISTRATION NUMBER

12 July 2001

U.S. APPLICATION NO. (if known, see 37 CFR

INTERNATIONAL APPLICATION NO.
PCT/DE00/00065ATTORNEY'S DOCKET NUMBER
06-01US21 ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.92(a)(1)-(5)):**Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO **\$1000.00**International preliminary examination fee (37 CFR 1.482) not paid to
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but all claims did not satisfy provisions of PCT Article 33(1)-(4) **\$690.00**International preliminary examination fee (37 CFR 1.482) paid to USPTO
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Amount to be
refunded:

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charged:

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A duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 50-1199. A duplicate copy of this sheet is enclosed.d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card
information should not be included on this form. Provide credit card information and authorization on PTO-2038.**NOTE:** Where an appropriate time limit under 37 CFR 1.94 or 1.95 has not been met, a petition to revive (37 CFR
1.37 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Gudrun E. Hockett, Patent Agent
P.O. Box 3187
Albuquerque, NM 87190-3187

SIGNATURE

Gudrun E. Hockett

NAME

35,747

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12 July 2001